



## ASSEMBLY — 37TH SESSION

### TECHNICAL COMMISSION

#### Agenda Item 29: Report on the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) under the comprehensive systems approach and Evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) beyond 2010

#### USOAP AND CMA

(Presented by AFCAC on behalf of the 53 African States<sup>1</sup>)

#### EXECUTIVE SUMMARY

This paper analyses the implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) approach (CSA) audits in the AFI region and proposes actions to strengthen the African states oversight capacity and rectify as soon as possible the identified deficiencies. This paper also presents some concerns of Africa regarding the evolution of the ICAO Universal Safety Oversight Audit Programme (USOAP) to Continuous Monitoring Approach (CMA) beyond 2010.

**Action:** The Assembly is invited to:

- a) note the information contained in this working paper; and
- b) take actions to support African States.

*Strategic Objectives:*

Strategic Objective A: Safety – *Enhance global civil aviation safety.*

*References:*

Doc 9935, *Report of the High-Level Safety Conference 2010*

<sup>1</sup> Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cap Verde, Central African Republic, Chad, Comoros, Congo, Cote d'Ivoire, Democratic Republic of the Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libyan Arab Jamahiriya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, Sudan, Swaziland, Togo, Tunisia, Uganda, United Republic of Tanzania, Zambia, Zimbabwe

## 1. INTRODUCTION

1.1 The ICAO Universal Safety Oversight Audit Programme (USOAP) audits were initiated in 2005. The USOAP audits were used to assess the effective implementation of a safety oversight system and the status of implementation of Recommended Practices (SARPs), associated procedures, guidance material. While these audit results revealed that findings are still being made in the areas of personnel licensing, aircraft operations and airworthiness, most findings were relating to new areas, such as aerodromes, air navigation services and aircraft accident and incident investigation.

1.2 The CMA concept will involve the establishment of a system to monitor the safety oversight capability of Contracting States on an ongoing basis. In applying this monitoring system, ICAO will adopt a harmonized and consistent approach to assess the safety level of aviation activities and evaluating safety management capabilities.

## 2. DISCUSSION

### 2.1 ICAO Universal Safety Oversight Audit Programme (USOAP)

2.1.1 The analysis of audit results reveal that the global average lack of effective implementation of the eight Critical Elements (CEs) stood at 42 per cent and the highest lack of effective implementation was evident in CE-4, *Technical Personnel Qualification and Training*. In Africa the lack of effective implementation of all critical elements is above 50 per cent, apart from CE1 which is at 40 per cent. CEs 4, 6 and 8 remain the areas of the most concern in Africa. Furthermore there is probably a correlation between the lack of implementation of the critical elements and the accident rate.

2.1.2 In order for African States to be able to rectify their deficiencies as soon as possible, it would be important for States to agree on targets that can reasonably be achieved by all States within the region.

2.1.3 As a result of the seriousness of this matter to African States, they have already taken action and committed to implement agreed recommendations at the recent joint ICAO/AFCAC meeting in Ndjamena (Information Paper A37-WP/140). ICAO is in the process of developing project proposals to follow up on the recommendations of this meeting, which were mainly aimed at resolving the SSCs and safety oversight deficiencies of those States currently before the ARRB.

2.1.4 However, even with this commitment having been made it is clear that funding, either from the recipient States themselves or from donor States, funding agencies or the ICAO IFFAS fund, will have to be secured to enable effective implementation.

2.1.5 Several other initiatives are in progress in Africa in order to rectify the deficiencies identified by USOAP, such as the ACIP, the COSCAPs and RSOO activities.

2.1.6 Training is one of the major concerns in Africa; there is a strong need to establish a master plan for training in the continent. For this purpose ICAO ACIP, AFCAC, RSOOs, RECs and all the stakeholders assisting Africa should align their efforts toward achieving this goal.

## 2.2 Transitioning to a Continuous Monitoring Approach (CMA)

2.2.1 At the High-Level Safety Conference (HLSC) in 2010, the African States expressed their concern regarding the proposed time frame of two years for the transition to the CMA, due to States' efforts being exerted on rectifying the USOAP findings and implementing SSP.

2.2.2 Although recommendation 1/2(b) of the HLSC states that '*the Council of ICAO should monitor the progress made during the transition period and adjust its duration as required. The Council should report to the 37th and 38th Sessions of the ICAO Assembly on progress made in transitioning to the CMA*', African States are still concerned about the short time frame.

2.2.3 In order to achieve all these objectives, African States would have to rely heavily on the assistance from ICAO headquarters and ICAO regional offices which in turn would place an additional burden on the regional offices resources. In that case the ICAO regional offices particular in Africa need to be well resourced in order to assist States and collect the data required for the CMA.

2.2.4 The training requirements under CMA for both the National Continuous Monitoring coordinators' (NCMCs) and other experts and State assigned staff must not be underestimated during the transition.

2.2.5 ICAO regional workshops on the CMA should be extended to a maximum number of States within all regions.

## 3. CONCLUSION

3.1 African States reconfirm their support to the Continuous Monitoring Approach, but would like to propose that the following actions be taken into consideration by the Assembly.

3.1.1 ICAO should assess the capability of States/regions in implementing the CMA during the transitions phase.

3.1.2 ICAO should carry out a cost/benefit analysis for the effective implementation of the CMA.

3.1.3 ICAO and Contracting States should identify the additional cost needed by States to meet the transition to CMA and the funding implications.

3.1.4 ICAO should allow the CSA approach to USOAP to continue in parallel with CMA for the transition to be smooth and successful without creating implementation voids.

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